



IAPD Report

BARBARA YUENYEE YEE

CRD# 1397104

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

BARBARA YUENYEE YEE (CRD# 1397104)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	06/30/2023
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	06/30/2023

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **26** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MORGAN STANLEY	149777	New York, NY	05/21/2020 - 07/26/2023
B	MORGAN STANLEY	149777	New York, NY	06/01/2009 - 07/26/2023
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	04/24/2009 - 06/01/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **26** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**
Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086
Firm ID#: 8174

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	06/30/2023
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/30/2023
B FINRA	General Securities Representative	Approved	06/30/2023
B NYSE American LLC	General Securities Representative	Approved	06/30/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	06/30/2023
B NYSE Texas, Inc.	General Securities Representative	Approved	06/30/2023
B Nasdaq ISE, LLC	General Securities Representative	Approved	06/30/2023
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/30/2023
B Nasdaq Stock Market	General Securities Representative	Approved	06/30/2023
B New York Stock Exchange	General Securities Representative	Approved	06/30/2023
B Alabama	Agent	Approved	07/31/2023
B Arizona	Agent	Approved	06/30/2023
B California	Agent	Approved	06/30/2023



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	07/08/2024
B Connecticut	Agent	Approved	06/30/2023
B Delaware	Agent	Approved	08/01/2024
B Florida	Agent	Approved	06/30/2023
B Georgia	Agent	Approved	06/30/2023
B Hawaii	Agent	Approved	09/13/2024
B Illinois	Agent	Approved	06/30/2023
B Indiana	Agent	Approved	10/17/2023
B Maryland	Agent	Approved	06/30/2023
B Massachusetts	Agent	Approved	06/30/2023
B Montana	Agent	Approved	08/27/2025
B Nevada	Agent	Approved	06/30/2023
B New Jersey	Agent	Approved	06/30/2023
B New York	Agent	Approved	06/30/2023
IA New York	Investment Adviser Representative	Approved	06/30/2023
B North Carolina	Agent	Approved	06/30/2023
B Pennsylvania	Agent	Approved	06/30/2023
B Puerto Rico	Agent	Approved	06/30/2023
B South Carolina	Agent	Approved	06/13/2025



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	05/18/2026
B Texas	Agent	Approved	06/30/2023
IA Texas	Investment Adviser Representative	Approved	06/30/2023
B Virginia	Agent	Approved	06/30/2023
B Washington	Agent	Approved	06/30/2023
B Wyoming	Agent	Approved	06/30/2023

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1285 AVENUE OF THE AMERICAS
19TH FLOOR
NEW YORK, NY 10019



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	05/31/2005
General Securities Representative Examination (S7)	Series 7	10/04/1997
National Commodity Futures Examination (S3)	Series 3	11/25/1994

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/30/2022
Uniform Securities Agent State Law Examination (S63)	Series 63	06/08/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/21/2020 - 07/26/2023	MORGAN STANLEY	CRD# 149777	New York, NY
B	06/01/2009 - 07/26/2023	MORGAN STANLEY	CRD# 149777	New York, NY
B	04/24/2009 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	11/21/2000 - 05/05/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
B	10/08/1997 - 11/03/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	11/15/1993 - 03/06/1995	S.G. WARBURG & CO. INC.	CRD# 1483	NEW YORK, NY
B	02/26/1992 - 11/23/1993	AMERICAN INTERNATIONAL FUND DISTRIBUTORS, INC.	CRD# 5967	NEW YORK, NY
B	09/24/1985 - 03/13/1990	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2023 - Present	UBS Financial Services Inc	Financial Advisor	Y	San Francisco, CA, United States
01/2015 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
01/2015 - 06/2023	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 06/2023	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	NEW YORK, NY, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1) 4111 LLC; BROOKLYN, NY; DUTIES - AGENT OF LLC, PAY EXPENSES, COLLECT RENT; 0.5 AFTER BUSINESS; 0 DURING BUSINESS; 02/2011

* 411347 - 56017 LLC; Investment related Yes; Brooklyn, NY; Real Estate; Owner (proprietor, partner, officer, director, employee, trustee, agent); September 2020; During business hours: 0; After business hours: 1; Administrative



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

**DISCLOSURE EVENT DETAILS**

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: NOVEMBER 27, 2007 - OCTOBER 11, 2011 CLIENT ALLEGES THE PURCHASE OF HIS STRUCTURED PRODUCT INVESTMENT WAS MADE AFTER REPEATED SOLICITATION AND REASSURANCE THAT THE INVESTMENT PRINCIPAL WAS PROTECTED BY GUARANTEE. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000.
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ESTIMATED TO BE IN EXCESS OF \$5000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/11/2011
Complaint Pending?	No



Status: Denied
Status Date: 06/07/2012
Settlement Amount:
Individual Contribution Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: TIME FRAME: NOVEMBER 27, 2007 - OCTOBER 11, 2011 CLIENT ALLEGES THE PURCHASE OF HIS STRUCTURED PRODUCT INVESTMENT WAS MADE AFTER REPEATED SOLICITATION AND REASSURANCE THAT THE INVESTMENT PRINCIPAL WAS PROTECTED BY GUARANTEE. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000.

Product Type: Other: STRUCTURED PRODUCTS
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$5000.

Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/11/2011
Complaint Pending? No
Status: Denied
Status Date: 06/07/2012

Settlement Amount:
Individual Contribution Amount:

Broker Statement FA STATES THE CLIENT'S LETTER WAS AN INQUIRY ABOUT LEHMAN BROTHERS BANKRUPTCY COURT GLOBAL SETTLEMENT, AND NOT A COMPLAINT AGAINST THE FA OR UBS. FA IS SEEKING TO HAVE MATTER EXPUNGED.

Disclosure 2 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.
Allegations: CLAIMANTS ALLEGE STRUCTURED PRODUCT INVESTMENTS WERE



UNSUITABLE AND MISREPRESENTED.

Product Type: Other: STRUCTURED PRODUCT

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 10-01864

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 04/30/2010

Customer Complaint Information

Date Complaint Received: 04/30/2010

Complaint Pending? No

Status: Settled

Status Date: 10/06/2011

Settlement Amount: \$50,000.00

**Individual Contribution
Amount:** \$0.00

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANTS ALLEGE STRUCTURED PRODUCT INVESTMENTS WERE
UNSUITABLE AND MISREPRESENTED.

Product Type: Other: STRUCTURED PRODUCT

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 10-01864

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 04/30/2010

Customer Complaint Information



Date Complaint Received: 04/30/2010
Complaint Pending? No
Status: Settled
Status Date: 10/06/2011
Settlement Amount: \$50,000.00
Individual Contribution Amount: \$0.00
Broker Statement PER A LETTER FROM THE CLIENT, THIS COMPLAINT WAS MADE SOLELY AGAINST UBS AND NOT AGAINST BARBARA YEE. SETTLEMENT WAS BETWEEN UBS AND THE CLIENT, AND UBS PAID 100% OF THE SETTLEMENT. FA STATES SHE INTENDS TO PURSUE EXPUNGEMENT OF THIS ITEM

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH
Allegations: CUSTOMER ALLEGES THAT FINANCIAL CONSULTANT DID NOT EXECUTE AN ORDER TO SELL CERTAIN HOLDINGS IN PORTFOLIO. CUSTOMER FUTURE ALLEGES THAT THE FC WAS NEGLIGENT IN HANDLING OF CUSTOMER'S ACCOUNT.
Product Type: Equity - OTC
Alleged Damages: \$160,000.00

Customer Complaint Information

Date Complaint Received: 05/22/2000
Complaint Pending? No
Status: Denied
Status Date: 10/06/2006
Settlement Amount:
Individual Contribution Amount:
Firm Statement THE CLIENT'S ALLEGATIONS WERE FOUND TO BE WITHOUT MERIT AND ML DENIED THEM IN THEIR ENTIRETY.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: CUSTOMER ALLEGES THAT FINANCIAL CONSULTANT DID NOT EXECUTE AN ORDER TO SELL CERTAIN HOLDINGS IN CUSTOMER'S PORTFOLIO. CUSTOMER FURTHER ALLEGES THAT FINANCIAL CONSULTANT WAS NEGLIGENT IN THE HANDLING OF CUSTOMER'S ACCOUNT.
Product Type: Equity - OTC



Alleged Damages: \$160,000.00

Customer Complaint Information

Date Complaint Received: 05/22/2000

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



End of Report

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